

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2011-02-22

2. **Agency:** 007

3. **Bureau:** 97

4. **Name of this Investment:** PROTECT INFORMATION - PUBLIC KEY INFRASTRUCTURE -INCREMENT ONE

5. **Unique Project (Investment) Identifier (UPI):** 007-97-05-08-01-6456-00

6. **What kind of investment will this be in FY 2012?:** Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2004

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

Public Key Infrastructure (PKI) refers to the framework and services that provide for the generation, production, distribution, control, revocation, recovery, and tracking of PK electronic/digital identities utilizing COTS applications to provide IA and e business capabilities. This capability enables assured network transactions, management, validation, and extensibility in support of broader net-centric IA objectives. It offers net-centric services for users to manage their credentials and for applications to authenticate the validity of certificates received during electronic transactions. PKI eliminates the need for user name and password on DoD networks by allowing access to data/applications on DoD networks by binding a user name with a piece of cryptographic keying material. This even extends to network access where the PKI credential can be used to logon to a network without a separate username and password. This initiative includes funding for development and implementation of new capabilities as well as operations and sustainment of existing capabilities. The PKI will continue to evolve utilizing an evolutionary acquisition strategy. Today the program is implementing Increment One toward enhancing the overall robustness of the infrastructure. This includes architectural enhancements and increased capabilities needed to support the warfighter; such as RCVS. Increment One will be completed and fully deployed in FY11. PKI was previously reported as a combined program. PKI Increments 1 and 2 have been split and will be reported separately as 6456 and 1204.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
NONE	

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**

2008-09-08

- b. **Provide the date of the most recent or planned approved project charter.** 2008-09-08

10. Contact information?

- a. **Program/Project Manager Name:** *
Phone Number: *
Email: *
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Charles G. Stein
Phone Number: *
Email: *

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA): Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 4

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded		HC102809F2364			*	*	\$30,300,000.0	Firm Fixed Price	N	2009-06-01	2011-05-31	Full and Open Competition after exclusion of sources	PKI Operation & Sustainment Support.
Awarded					*	*	\$5,450,000.0	Other (none of the above)	N	2009-10-01	2011-09-30	Not Competed	Computing Services Hosting Support
Awarded		HC102808D2015			*	*	\$733,529.0	Order Dependent (IDV only)	N	2008-06-01		Y	Encore II IT Solutions - FFP
Awarded					*	*	\$1,336,265.0	Other (none of the above)	N	2009-10-01	2011-09-30	Not Available for Competition	JITC Testing (FY10) PKI Lab, PKI End-to-End & Travel;PKE Lab Testing;
Awarded					*	*	\$1,219,788.0	Other (none of the above)	N	2009-10-01	2010-10-03	Not Available for Competition	Computing Services Hosting Support for

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
													New
Awarded					*	*	\$1,050,000.0	Cost Plus Fixed Fee	Y	2009-10-01	2011-09-30	Full and Open Competition after exclusion of sources	EPM II Contract
Awarded					*	*	\$2,000,000.0	Cost Plus Award Fee	N	2009-01-22	2011-05-31	Not Completed	PKI Evolution Contract
Awarded		KH05	FA877104D0006		*	*	\$9,824,161.0	Combination (two or more)	N	2008-07-18	2010-12-18	Y	IT Technical Support Services
Awarded		HC102810P2163			*	*	\$339,660.0	Firm Fixed Price	Y	2010-06-30	2011-06-30	N	SOFTWARE MAINTENANCE
Awarded					*	*	\$332,347.0	Other (none of the above)	N	2009-10-01	2011-09-30	Not Available for Competition	Computing Services Hosting Support for PKI Coalition

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded					*	*	\$224,115.4	Firm Fixed Price	N	2010-07-15	2011-07-14	Full and Open Competition after exclusion of sources	Tumbleweed Maintenance (FY10)
Awarded			GS35F0164J		*	*	\$5,951,109.0	Firm Fixed Price	N	2010-09-26	2010-12-31	Full and Open Competition after exclusion of sources	NCipher Maintenance (FY10) (NPE,NSS)
Awarded			NNG07DA15B		*	*	\$8,529,353.0	Firm Fixed Price	N	2010-07-21	2011-07-20	Full and Open Competition after exclusion of sources	F5 Maintenance Renewal (FY10)
Awarded			GS35F0164J		*	*	\$270,337.0	Firm Fixed Price	N	2010-01-01	2010-12-31	Full and Open Competition after exclusion of sources	nCipher licenses purchase (SIPR)
Awarded					*	*	\$25,344.1	Firm Fixed Price	N	2009-02-09	2011-02-09	Full and Open Competition after	SPI Sun Maintenance

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
												exclusion of sources	
Awarded			NNG07DA15B		*	*	\$32,414.9	Firm Fixed Price	N	2009-11-23	2010-11-22	Full and Open Competition after exclusion of sources	Dell Maintenance
Awarded					*	*	\$60,430.0	Firm Fixed Price	N	2010-02-04	2011-02-03	Full and Open Competition after exclusion of sources	Safenet Maintenance Renewal
Awarded					*	*	\$53,219.0	Other (none of the above)	N	2010-07-26	2011-01-26	Full and Open Competition after exclusion of sources	SafeNet Backup Maintenance Hardware Security Modules
Awarded					*	*	\$12,646.0	Firm Fixed Price	N	2009-06-01	2011-05-31	Full and Open Competition after exclusion of sources	PKI Remedy Software Maintenance

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded					*	*	\$1,712.8	Firm Fixed Price	N	2009-06-30	2011-06-29	Full and Open Competition after exclusion of sources	Tripwire Maintenance

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *
- c. Was the Acquisition Plan approved in accordance with agency requirements *
- d. If "yes," enter the date of approval? *
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education. yes
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. PKI will reduce the risk of collocating sensitive cryptographic data and services with cloud computing. PKI is working with enterprise users to assess cloud computing.
3. Provide the date of the most recent or planned Quality Assurance Plan 2009-06-01
4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2004-10-14
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-04-01

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Non-Person Entity Certificates - Device certificates (PCs, network devices, etc.).	DME	*	\$22.5	\$20.5	2005-10-01	2005-10-01	2011-03-30		70.00%	90.00%
Robust Certificate Validation Phase 2 and Beyond - Develop and maintain certificate validation capability.	DME	*	\$26.7	\$26.7	2005-10-01	2005-10-01	2011-09-30	2011-02-14	80.00%	100.00%
External Trust Relationships - Policy and technical solutions to share information with other Federal government and allies.	DME	*	\$1.4	\$1.0	2008-12-01	2008-12-01	2011-09-30		80.00%	90.00%
Bulk Revocation by Components - Provide capability to revoke large numbers by organization.	DME	*	\$1.5	\$1.5	2006-01-01	2006-01-01	2011-09-30	2011-02-01	98.00%	100.00%
Architecture Improvements - design and implement changes to improve reliability and performance	DME	*	\$12.6	\$8.6	2005-10-01	2005-10-01	2011-09-30	2011-01-18	80.00%	100.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Automated PKI Monitoring - provide monitoring of PKI information for reliability network operations		*	\$3.9	\$4.0	2005-09-01	2005-09-01	2011-09-30	2009-09-28	100.00%	100.00%

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion. Cost, Schedule and Performance variances are within 10 percent of the current baseline.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.
2010-04-01

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?
yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)	
Technology	Interoperability	PKI Critical Information Exchange Requirements Satisfaction (CIERS) PKI is a key component to facilitate NetCentricity with DOD and with external partners	monthly	Percentage	Increase	PKI CIERS =99.1%	2011-01-01	
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated	
			2011	PKI CIERS 99.2%	PKI CIERS = 99.3%	Met	2011-02-21	
Mission and Business Results	Information Security	PKI Certificate Response Time (PKI CRT)	monthly	Seconds	Decrease	PKI CRT 15 seconds (average)	PKI CRT = 19 seconds to date	Met
Mission and Business Results	Information Security	PKI Certificate Response Time (PKI CRT)	monthly	Seconds	Decrease	PKI CRT > 10 < 15 seconds (average)	2010-01-01	
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated	
			2010	PKI CRT = 10 seconds (average)	PKI CRT = 10 seconds (average)	Met	2011-02-21	
Mission and Business Results	Information Security	PKI Certificate Response Time (PKI CRT)	monthly	Seconds	Decrease	PKI CRT >10 and < 15 seconds (average)	2011-01-01	
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated	
			2011	PKI CRT = 10 seconds	PKI CRT = 10 seconds	Met	2011-02-21	

				(average)	(average)		
Processes and Activities	Security	PKI Certificate Validation Retrieval Frequency (CVRF)	monthly	Seconds	Decrease	PKI CVRF = 15 seconds	2009-01-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2009	PKI CVRF < 15 seconds	PKI CVRF 14.8 seconds to date	Met	2010-09-20
Processes and Activities	Security	PKI Certificate Validation Retrieval Frequency (CVRF) including suspension of certification for PKI	monthly	Seconds	Decrease	PKI CVRF = 15 seconds	2010-01-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	PKI CVRF < 15 seconds	PKI CVRF < 15 seconds	Met	2011-02-21
Processes and Activities	Security	PKI Certificate Validation Retrieval Frequency (CVRF) including suspension of certification for PKI	monthly	Seconds	Decrease	PKI CVRF =15 seconds	2011-01-01

			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	PKI CVRF < 15 seconds	PKI CVRF < 15 seconds	Met	2011-02-21
Technology	Interoperability	PKI Critical Information Exchange Requirements Satisfaction (CIERS) PKI is a key component to facilitate NetCentricity with DOD and with external partners	monthly	Percentage	Increase	PKI CIERS 99.1%	2009-01-01

* - Indicates data is redacted.